

044113

DATE	INVOICE NUMBER	MEMO	BALANCE
12/20/2001	12202001E	KRESS 11321-P011C1D6 Advance for Filing Fees for Divisional	370.00
TOTAL			370.00



CHECK DATE 12/21/2001
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WINSTEAD SECHREST & MINICK
 A Professional Corporation
 Client Advance Account

910 Travis Street
 Suite 2400
 Houston, Texas 77002-5895
 (713) 650-8400

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 2200 Ross Ave.
 Dallas, Texas 75201
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NUMBER
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DATE	INVOICE NUMBER	MEMO	BALANCE
12/20/2001	12202001E	KRESS 11321-P011C1D6 Advance for Filing Fees for Divisional	370.00
TOTAL			370.00

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WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/027,670	12/21/2001	Daniel T. Colbert	11321-P011C1D6

Hugh R. Kress
2400 Bank One Center
910 Travis Street
Houston, TX 77002



CONFIRMATION NO. 1672

FORMALITIES LETTER



OC000000008612523

Date Mailed: 08/12/2002

NOTICE OF INCOMPLETE NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

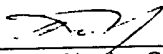
A filing date has NOT been accorded to the above-identified application papers for the reason(s) indicated below.

All of the items noted below and a newly executed oath or declaration covering the items must be submitted within **TWO MONTHS** of the date of this Notice, unless otherwise indicated, or proceedings on the application will be terminated (37 CFR 1.53(e)).

The filing date will be the date of receipt of all items required below, unless otherwise indicated. Any assertions that the item(s) required below were submitted, or are not necessary for a filing date, must be by way of petition directed to the attention of the Office of Petitions accompanied by the \$130.00 petition fee (37 CFR 1.17(h)). If the petition states that the application is entitled to a filing date, a request for a refund of the petition fee may be included in the petition.

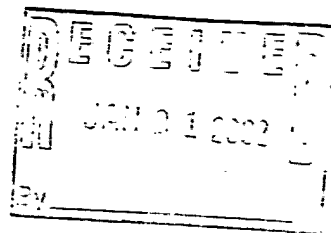
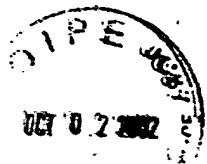
- The application was deposited without drawings. 35 U.S.C. 113 (first sentence) requires a drawing "where necessary for the understanding of the subject matter sought to be patented." Applicant should reconsider whether the drawings are necessary under 35 U.S.C. 113 (first sentence).

A copy of this notice MUST be returned with the reply.


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Initial Patent Examination Division (703) 308-1202

PART I - ATTORNEY/APPLICANT COPY



DOCKET NO: 11321-P011C1D6 CLIENT (Ref.): Rice ATTY/PRLG HRK/WAW/dr
Inv/Applicant: Colbert et al. TITLE: Macroscopically Manipulable...

<input checked="" type="checkbox"/> New Patent Application:	<input checked="" type="checkbox"/> Transmittal Letter	App'l/Grant No: _____
<input checked="" type="checkbox"/> App'l Data Sheet	<input checked="" type="checkbox"/> Fee Transmittal	PTO RECEIPT DATE STAMP:
<input type="checkbox"/> Provisional	<input checked="" type="checkbox"/> Check(s) - \$ <u>370.00</u>	
<input type="checkbox"/> Prov Cvr Sheet	<input type="checkbox"/> Issue Fee <input type="checkbox"/> Check - \$ _____	
<input checked="" type="checkbox"/> Utility	<input type="checkbox"/> Maintenance Fee Transmittal	
<input type="checkbox"/> CONT	<input type="checkbox"/> Check - \$ _____	
<input checked="" type="checkbox"/> CIP / DIV	<input type="checkbox"/> PCT Request	
<input type="checkbox"/> CPA / RCE	<input type="checkbox"/> PCT Chapter II Demand	
<input type="checkbox"/> Plant	<input type="checkbox"/> PCT Fee Calculation Sheet	
<input type="checkbox"/> Design	<input type="checkbox"/> APPEAL <input type="checkbox"/> APPEAL BRIEF	
<input type="checkbox"/> PCT	<input type="checkbox"/> Petition-Extension of Time - _____ Months	
<input checked="" type="checkbox"/> Drawing(s) <u>14</u> Sheets	<input type="checkbox"/> PETITION: _____	
<input type="checkbox"/> Gene Sequence	<input type="checkbox"/> FORM _____	
<input type="checkbox"/> Computer Readable	<input type="checkbox"/> FORM _____	
<input type="checkbox"/> Paper Copy	<input type="checkbox"/> Response to FORM _____	
<input checked="" type="checkbox"/> Declaration	<input checked="" type="checkbox"/> Response/Amendment <u>Preliminary Amendment</u>	
<input type="checkbox"/> Power of Attorney	<input type="checkbox"/> Resp. to Notice: Non-Compliant App'l / Missing Parts / Inv. To Correct Defects	
<input type="checkbox"/> PCT - Original / Copy	<input type="checkbox"/> Request for Correction: _____	
<input type="checkbox"/> Non-Publication Request	<input type="checkbox"/> OTHER: _____	
<input type="checkbox"/> IDS, PTO/SB/08A-B, # Ref: _____		
<input type="checkbox"/> Assignment - \$ _____	DUE: _____	MAILED: <u>12/21/01</u>
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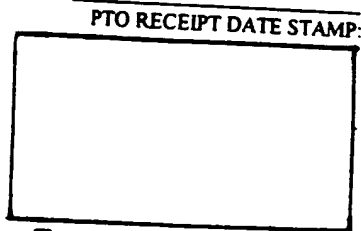
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DOCKET NO: 1321-P011C1D6 CLIENT (Ref): Rice ATTY/PRLG HRK/WAW/dr
Inv/Applicant: C lbert et al. TITLE: Macr scopically Manipulable...

<input checked="" type="checkbox"/> New Patent Application: <input checked="" type="checkbox"/> App'l Data Sheet <input type="checkbox"/> Provisional <input type="checkbox"/> Prov Cvr Sheet <input checked="" type="checkbox"/> Utility <input type="checkbox"/> CONT <input checked="" type="checkbox"/> CIP / DIV <input type="checkbox"/> CPA / RCE <input type="checkbox"/> Plant <input type="checkbox"/> Design <input type="checkbox"/> PCT <input checked="" type="checkbox"/> Drawing(s) <u>14</u> Sheets <input type="checkbox"/> Gene Sequence <input type="checkbox"/> Computer Readable <input type="checkbox"/> Paper Copy <input checked="" type="checkbox"/> Declaration <input type="checkbox"/> Power of Attorney <input type="checkbox"/> PCT - Original / Copy <input type="checkbox"/> Non-Publication Request <input type="checkbox"/> IDS, PTO/SB/08A-B, # Ref: <input type="checkbox"/> Assignment - \$ <input type="checkbox"/> Assignment Cvr Sheet <input checked="" type="checkbox"/> Mailed Via: EXPRESS MAIL No:	<input checked="" type="checkbox"/> Transmittal Letter <input checked="" type="checkbox"/> Fee Transmittal <input checked="" type="checkbox"/> Check(s) - \$ <u>370.00</u> <input type="checkbox"/> Issue Fee <input type="checkbox"/> Check - \$ <input type="checkbox"/> Maintenance Fee Transmittal <input type="checkbox"/> Check - \$ <input type="checkbox"/> PCT Request <input type="checkbox"/> PCT Chapter II Demand <input type="checkbox"/> PCT Fee Calculation Sheet <input type="checkbox"/> APPEAL <input type="checkbox"/> APPEAL BRIEF <input type="checkbox"/> REPLY BRIEF <input type="checkbox"/> Petition-Extension of Time - <u> </u> Months <input type="checkbox"/> Check - \$ <input type="checkbox"/> PETITION: <input type="checkbox"/> FORM <input type="checkbox"/> FORM <input type="checkbox"/> Response to FORM <input checked="" type="checkbox"/> Response/Amendment <u>Preliminary Amendment</u> <input type="checkbox"/> Resp. to Notice: Non-Compliant App'l / Missing Parts / Inv. To Correct Defects <input type="checkbox"/> Request for Correction: <input type="checkbox"/> OTHER: DUE: <u>12/21/01</u> MAILED: <u>12/21/01</u> EL 765759987 US OR <input type="checkbox"/> Certificate of Mailing
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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 11321-P011C1D6
First Inventor Daniel T. COLBERT
Title Method for Forming an Array of Single-Wall Carbon Nanotubes in an Electric Field and Compositions
Express Mail Label No. EL765759873US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
- ☒ Applicant claims small entity status.
See 37 CFR 1.27.
- ☒ Specification [Total Pages 58]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 14]
- ☒ Oath or Declaration [Total Pages 6]
 - ☐ Newly executed (original or copy)
 - ☒ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - ☐ Computer Readable Form (CRF)
 - Specification Sequence Listing on:
 - ☐ CD-ROM or CD-R (2 copies); or
 - ☐ paper
 - ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- ☒ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
- ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☒ Other: Check for filing fees

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: 10 / 000,746

Prior application information:

Examiner Jack I. Berman

Group Art Unit: 2881

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

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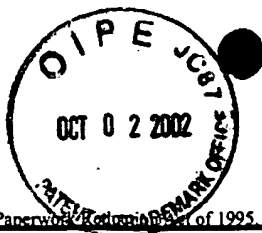
or ☒ Correspondence address below

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Address 2400 Bank One Center
910 Travis Street
City Houston State TX Zip Code 77002
Country US Telephone 713-650-2714 Fax 713-650-2400

Name (Print/Type) Hugh R. Kress, Esq. Registration No. (Attorney/Ag nt) 36,574
Signature Hugh R. Kress Date 21-DEC-2001

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PATENT APPLICATION FEE DETERMINATION RECORD					Application or Docket Number 11321-P011C1D6			
CLAIMS AS FILED - PART I (Column 1) (Column 2)					SMALL ENTITY OR OTHER THAN SMALL ENTITY			
FOR	NUMBER FILED	NUMBER EXTRA			RATE	FEE	RATE	FEE
BASIC FEE (37 CFR 1.16(a))					\$ 370			\$
TOTAL CLAIMS (37 CFR 1.16(c))	6	minus 20 =	*	0	x \$ 9 =	0.00	OR	x \$ = 0.00
INDEPENDENT CLAIMS (37 CFR 1.16(b))	2	minus 3 =	*	0	x 42 =	0.00	OR	x =
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(d))					+ =		OR	+ =
					TOTAL	370.00	OR	TOTAL 0.00
* If the difference in column 1 is less than zero, enter "0" in column 2								
CLAIMS AS AMENDED - PART II (Column 1) (Column 2) (Column 3)					SMALL ENTITY OR OTHER THAN SMALL ENTITY			
AMENDMENT A	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDITIONAL FEE	RATE	ADDITIONAL FEE
	Total (37 CFR 1.16(c))	*	Minus	**	=	x \$ =	OR	x \$ =
	Independent (37 CFR 1.16(b))	*	Minus	***	=	x =	OR	x =
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))				+ =		OR	+ =
					TOTAL		OR	TOTAL
					ADDIT. FEE		OR	ADDIT. FEE
AMENDMENT B	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDITIONAL FEE	RATE	ADDITIONAL FEE
	Total (37 CFR 1.16(c))	*	Minus	**	=	x \$ =	OR	x \$ =
	Independent (37 CFR 1.16(b))	*	Minus	***	=	x =	OR	x =
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))				+ =		OR	+ =
					TOTAL		OR	TOTAL
					ADDIT. FEE		OR	ADDIT. FEE
AMENDMENT C	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDITIONAL FEE	RATE	ADDITIONAL FEE
	Total (37 CFR 1.16(c))	*	Minus	**	=	x \$ =	OR	x \$ =
	Independent (37 CFR 1.16(b))	*	Minus	***	=	x =	OR	x =
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))				+ =		OR	+ =
					TOTAL		OR	TOTAL
					ADDIT. FEE		OR	ADDIT. FEE

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.
** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".
*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".
The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

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